



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#7

Applicants: Mark Grimse et al.

Serial No.: 09/805,646

Group Art Unit: 2122

Filed: March 13, 2001

Examiner: Not Yet Assigned

Title: AUTOMATED PROCESS GUIDANCE SYSTEM AND METHOD

Certificate of Mailing Via First Class Mail on October 5, 2001

I hereby certify that this paper is being deposited with the United States Postal Service with postage sufficient for First Class Mail on the date indicated above and is addressed to: Box NO FEE AMENDMENT, Commissioner for Patents; Washington, DC 20231.


Cathy Pittman

TRANSMITTAL OF FORMAL DRAWINGS

Commissioner for Patents
Washington, DC 20231

Dear Sir:

Transmitted herewith are nineteen (19) sheets of formal drawings for the above-identified application.



Timothy Lohse
Patent Department - HV
GRAY CARY WARE & FREIDENRICH LLP
1755 Embarcadero Road
Palo Alto, CA 94303

Dated October 5, 2001

By

Timothy W. Lohse

Reg. No. 35,255

Attorney for Applicant

GRAY CARY WARE & FREIDENRICH LLP
ATTN: Patent Department
1755 Embarcadero Road
Palo Alto, CA 94303
(650) 320-7400

[illegible]



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/805,646	03/13/2001	Mark Grimse	1040659-991101

CONFIRMATION NO. 4015

FORMALITIES LETTER



OC00000006560041

Gray Cary Ware & Freidenrich LLP
3340 Hillview Avenue
Palo Alto, CA 94304-1203

Date Mailed: 09/17/2001

NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

Filing Date Granted

The U.S. Patent and Trademark Office has received your reply on to the Notice mailed and it has been entered into the nonprovisional application. The reply, however, doesnot include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1));
 - more than one figure is present and each figure is not labeled "Fig." with a consecutive Arabic numeral (1, 2, etc.) or an Arabic numeral and capital letter in the English alphabet (A, B, etc.)(see 37 CFR 1.84(u)(1));

A copy of this notice MUST be returned with the reply.

h

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/18/2001 EABUBAK1-00000079-09805646

31-FC-216

200.00 DP



CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as FIRST CLASS MAIL in an envelope addressed to: BOX NO FEE, Assistant Commissioner for Patents, Washington, D.C. 20231, on October 5, 2001.

Cathy Pittman

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Mark Grimse

Serial No: 09/805,646

Group Art Unit: 2122

Filed: March 13, 2001

Examiner: N/A.

Title: AUTOMATED PROCESS GUIDANCE SYSTEM

* *

RESPONSE TO NOTICE OF INCOMPLETE REPLY
TO NOTICE TO FILE CORRECTED APPLICATION PAPERS

Box MISSING PARTS
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the "Notice of Incomplete Reply" mailed by the United States Patent and Trademark Office on September 17, 2001, Applicant encloses the following documents in reply to the Notice:

- 1) Transmittal Form (1 pg.);
- 2) Copy of Notice of Incomplete Reply (1 pg.);
- 3) Petition for Extension of Time (1 pg.);
- 4) Fee Transmittal (1 pg.);
- 5) Check # 49471 for \$195.00;
- 6) Transmittal of Formal Drawings (2 pgs.)
- 7) Nineteen (19) sheets of formal drawings; and
- 8) Return postcard.

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

Dated: 10/5/2001

By 

Timothy W. Lokse

Reg. No. 35,255

Attorney for Applicant

GRAY CARY WARE & FREIDENRICH
1755 Embarcadero Road
Palo Alto, CA 94303
Telephone: (650) 320-7426



10300
21

Please type a plus sign (+) inside this box



Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

PTO/SB21 (6-98)

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/805,646	
	Filing Date	March 13, 2001	
	First Named Inventor	Mark Grimse	
	Group Art Unit	2122	
	Examiner Name	Unknown	
Total Number of Pages in This Submission	28	Attorney Docket Number	1040659-991101

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment with Appendix A attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Associate Power of Attorney,	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Copy of Notice (1 pg.); Check #491171 for \$200.00; Transmittal of Formal Dwgs (2 pp) Nineteen (19) sheets formal drawings; Return postcard;
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Notice of Incomplete Reply to Notice to File Corrected Application Papers:	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

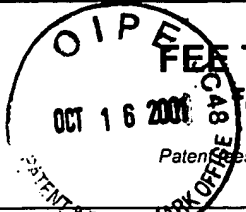
SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual name	Timothy W. Lohse (Reg. No. 35,255) Gray Cary Ware Freidenrich
Signature	
Date	October 5, 2001

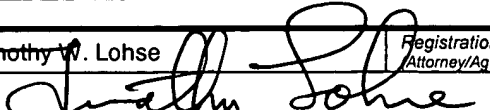
CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date

Typed or printed name	Cathy Pittman
Signature	
Date	October 5, 2001

 <p>FEE TRANSMITTAL for FY 2002</p> <p><small>Patent fees are subject to annual revision.</small></p>	Complete if Known	
	Application Number	09/805,646
	Filing Date	March 13, 2001
	First Named Inventor	Mark Grims
	Examiner Name	Unknown
	Group Art Unit	2122
Attorney Docket No.		1040659-991101
TOTAL AMOUNT OF PAYMENT (\$) 200.00		

METHOD OF PAYMENT	FEE CALCULATION (continued)																																																																																																																																																																																										
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: 07-1896</p> <p>Deposit Account Name: Gray Cary Ware & Freidenrich</p> <p><input checked="" type="checkbox"/> Charge Any additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>	<p>3. ADDITIONAL FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td>200</td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>320</td><td>219</td><td>160</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>320</td><td>220</td><td>160</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>280</td><td>221</td><td>140</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,280</td><td>241</td><td>640</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,280</td><td>242</td><td>640</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>460</td><td>243</td><td>230</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>620</td><td>244</td><td>310</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Processing fee under 37 CFR 1.17(q)</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>740</td><td>246</td><td>370</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>740</td><td>249</td><td>370</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td>179</td><td>740</td><td>279</td><td>370</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="5">* Reduced by Basic Filing Fee Paid</td> <td> SUBTOTAL (3) (\$) 200.00 </td> </tr> </tbody> </table>	Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath		127	50	227	25	Surcharge - late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	400	216	200	Extension for reply within second month	200	117	920	217	460	Extension for reply within third month		118	1,440	218	720	Extension for reply within fourth month		128	1,960	228	980	Extension for reply within fifth month		119	320	219	160	Notice of Appeal		120	320	220	160	Filing a brief in support of an appeal		121	280	221	140	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,280	241	640	Petition to revive - unintentional		142	1,280	242	640	Utility issue fee (or reissue)		143	460	243	230	Design issue fee		144	620	244	310	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Processing fee under 37 CFR 1.17(q)		126	180	126	180	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))		149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))		179	740	279	370	Request for Continued Examination (RCE)		169	900	169	900	Request for expedited examination of a design application		Other fee (specify) _____						* Reduced by Basic Filing Fee Paid					SUBTOTAL (3) (\$) 200.00
Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																						
105	130	205	65	Surcharge - late filing fee or oath																																																																																																																																																																																							
127	50	227	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																							
139	130	139	130	Non-English specification																																																																																																																																																																																							
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination																																																																																																																																																																																							
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																							
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																							
115	110	215	55	Extension for reply within first month																																																																																																																																																																																							
116	400	216	200	Extension for reply within second month	200																																																																																																																																																																																						
117	920	217	460	Extension for reply within third month																																																																																																																																																																																							
118	1,440	218	720	Extension for reply within fourth month																																																																																																																																																																																							
128	1,960	228	980	Extension for reply within fifth month																																																																																																																																																																																							
119	320	219	160	Notice of Appeal																																																																																																																																																																																							
120	320	220	160	Filing a brief in support of an appeal																																																																																																																																																																																							
121	280	221	140	Request for oral hearing																																																																																																																																																																																							
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																							
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																																							
141	1,280	241	640	Petition to revive - unintentional																																																																																																																																																																																							
142	1,280	242	640	Utility issue fee (or reissue)																																																																																																																																																																																							
143	460	243	230	Design issue fee																																																																																																																																																																																							
144	620	244	310	Plant issue fee																																																																																																																																																																																							
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																							
123	50	123	50	Processing fee under 37 CFR 1.17(q)																																																																																																																																																																																							
126	180	126	180	Submission of Information Disclosure Stmt																																																																																																																																																																																							
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																							
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																							
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																							
179	740	279	370	Request for Continued Examination (RCE)																																																																																																																																																																																							
169	900	169	900	Request for expedited examination of a design application																																																																																																																																																																																							
Other fee (specify) _____																																																																																																																																																																																											
* Reduced by Basic Filing Fee Paid					SUBTOTAL (3) (\$) 200.00																																																																																																																																																																																						
<p>1. BASIC FILING FEE</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>740</td><td>201</td><td>370</td><td>Utility filing fee</td><td></td></tr> <tr><td>106</td><td>330</td><td>206</td><td>165</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>510</td><td>207</td><td>255</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>740</td><td>208</td><td>370</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>160</td><td>214</td><td>80</td><td>Provisional filing fee</td><td></td></tr> <tr> <td colspan="5">SUBTOTAL (1) (\$)</td> <td></td> </tr> </tbody> </table> <p>2. EXTRA CLAIM FEES</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>-20** =</td> <td>X</td> <td></td> <td></td> </tr> <tr> <td>Independent Claims -3** =</td> <td>X</td> <td></td> <td></td> </tr> <tr> <td>Multiple Dependent</td> <td>X</td> <td></td> <td></td> </tr> </tbody> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102</td><td>84</td><td>202</td><td>42</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104</td><td>280</td><td>204</td><td>140</td><td>Multiple dependent claim, if not paid</td><td></td></tr> <tr><td>109</td><td>80</td><td>209</td><td>42</td><td>** Reissue independent claims over original patent</td><td></td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr> <tr> <td colspan="5">SUBTOTAL (2) (\$)</td> <td>0.00</td> </tr> </tbody> </table> <p><small>**or number previously paid, if greater; For Reissues, see above</small></p>	Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	101	740	201	370	Utility filing fee		106	330	206	165	Design filing fee		107	510	207	255	Plant filing fee		108	740	208	370	Reissue filing fee		114	160	214	80	Provisional filing fee		SUBTOTAL (1) (\$)						Total Claims	Extra Claims	Fee from below	Fee Paid	-20** =	X			Independent Claims -3** =	X			Multiple Dependent	X			Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20		102	84	202	42	Independent claims in excess of 3		104	280	204	140	Multiple dependent claim, if not paid		109	80	209	42	** Reissue independent claims over original patent		110	18	210	9	** Reissue claims in excess of 20 and over original patent		SUBTOTAL (2) (\$)					0.00																																																																																							
Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																						
101	740	201	370	Utility filing fee																																																																																																																																																																																							
106	330	206	165	Design filing fee																																																																																																																																																																																							
107	510	207	255	Plant filing fee																																																																																																																																																																																							
108	740	208	370	Reissue filing fee																																																																																																																																																																																							
114	160	214	80	Provisional filing fee																																																																																																																																																																																							
SUBTOTAL (1) (\$)																																																																																																																																																																																											
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																								
-20** =	X																																																																																																																																																																																										
Independent Claims -3** =	X																																																																																																																																																																																										
Multiple Dependent	X																																																																																																																																																																																										
Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																						
103	18	203	9	Claims in excess of 20																																																																																																																																																																																							
102	84	202	42	Independent claims in excess of 3																																																																																																																																																																																							
104	280	204	140	Multiple dependent claim, if not paid																																																																																																																																																																																							
109	80	209	42	** Reissue independent claims over original patent																																																																																																																																																																																							
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																							
SUBTOTAL (2) (\$)					0.00																																																																																																																																																																																						

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Timothy W. Lohse	Registration No. (Attorney/Agent)	35,255
Signature		Telephone	650-320-7426
		Date	October 5, 2001